

# **Grant Monitoring Procedure Manual**

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## STATE ADMINISTERING AGENCY RESPONSIBILITIES

The District Attorneys Council (DAC) is designated as the state-administering agency for twelve (12) federal grant programs. The funding for these grant programs is primarily received from the Office of Justice Programs, United States Department of Justice. The Federal Grants Division within DAC is responsible for the management of the following grant programs:

1. *Justice Assistance Grant*
2. *National Criminal History Improvement Grant*
3. *Residential Substance Abuse Treatment Grant*
4. *S.T.O.P Violence Against Women Act Grant*
5. *Coverdell Forensic Sciences Improvement Grant*
6. *Sexual Assault Services Program*
7. *Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program*
8. *NICS Act Record Improvement Program*
9. *Project Safe Neighborhoods*
10. *Coronavirus Emergency Supplemental Funding Program*
11. *Victims of Crime Act Grant*
12. *Elder Abuse: Enhanced Multidisciplinary Teams*

In overseeing the grant programs, the responsibilities of the Federal Grants Division include:

- Preparing the applications for the federal grant funds;
- Providing staff support to four oversight Boards and two subcommittees;
- Developing and distributing the application notice and application forms;
- Receiving and coordinating the distribution of the submitted subgrantee applications to the various Boards for review;
- Reviewing and making recommendations to the Boards regarding funding for submitted applications;
- Receiving funds from the federal granting agency and disbursing the funds to the subgrantees throughout the grant cycles;
- Maintaining accurate ledgers and other fiscal records for ten (10) grant programs with hundreds of subgrantees;
- Evaluating and monitoring compliance of subgrantees in meeting state and federal requirements;
- Providing guidance and technical assistance to subgrantees;
- Collecting statistical data from the subgrantees to assess program effectiveness in order to provide information to the federal granting agency; and,
- Preparing and submitting the required progress, financial, and evaluation reports to the federal granting agency by the assigned deadlines.

Each grant program has a corresponding Board that provides direction and oversight. These Boards generally meet on a quarterly basis and are responsible for setting priorities for funding, reviewing grant proposals, and determining awards for the grant funds. Depending on the federal requirements, some Boards may be responsible for developing a statewide plan to achieve the overall purpose of the grant program.

The Executive Council of the District Attorneys Council appoints the members to each of the Boards. The composition and number on the different Boards varies. The Federal Grants Division collaborates and provides staff support to the following:

1. Justice Assistance Grant Board;
2. Residential Substance Abuse Treatment Grant Board;
3. Violence Against Women Grant Board;
4. Victims of Crime Act Grant Board;
5. Coronavirus Emergency Supplemental Funding Grant Board;
6. Forensic Science Improvement Task Force; and,
7. Criminal Justice Information Systems Task Force.

The Organizational Chart in the Appendix identifies the structure within the DAC and the various Boards designated to oversee the implementation of the grant program.

## OVERVIEW OF FEDERAL GRANT PROGRAMS

### **Justice Assistance Grant (JAG)**

The Justice Assistance Grant (JAG) is a merger of the Edward Byrne Memorial Formula Grant and the Local Law Enforcement Block Grant (LLE). The purpose of the JAG Program is to prevent and control crimes and provide the State with the flexibility to prioritize and place justice funds where most needed. The JAG Board is comprised of 13 voting members and four (4) non-voting members, who are charged with reviewing the grant proposals, and determining awards for the grant funds.

### **National Criminal History Improvement and Policy Grant (NCHIP) – Discretionary Grant**

The National Criminal History Improvement Grant Program (NCHIP Program) is designed to assist states in meeting various evolving federal and state requirements regarding criminal history and related records. Under this program, funding is provided to improve the quality, the timeliness, and the immediate accessibility of criminal history and related records. Funds and technical assistance are also provided to support the interfacing between state and the federal record systems. The JAG Board designates the Criminal Justice Information Systems Task Force Subcommittee to review the grant applications in this area and make recommendations to the full Board.

### **Residential Substance Abuse Treatment Grant (RSAT)**

The Residential Substance Abuse Treatment Grant (RSAT Grant) assists states and units of local government in developing and implementing residential substance abuse treatment programs within state and local correctional and detention facilities in which prisoners are incarcerated for a period of time sufficient to permit substance abuse treatment. The Residential Substance Abuse Treatment Grant Board is comprised of five members who review grant proposals and determine awards.

### **S.T.O.P Violence Against Women Formula Grant Program (VAWA)**

The S.T.O.P Violence Against Women Formula Grants Program (S.T.O.P. VAWA Program) encourages law enforcement, prosecution, victim services, and the courts to develop and implement effective, victim-centered strategies to address violent crimes against women. In addition, the S.T.O.P. VAWA Program promotes the development and/or enhancement of victim services for intervention with women who are victims of violent crimes. The Violence Against Women Act Grant Board, a six-member board, is charged with developing the state implementation plan, reviewing grant proposals and determining awards for the funds.

### **Coverdell Forensic Science Improvement Act Grant (Coverdell/NFSIA)**

The purpose of the Forensic Sciences Improvement Act Grant (FSIA Grant) is to improve the quality and timeliness of forensic sciences services for the criminal justice system. The Justice Assistance Grant Board designates the Forensic Sciences Improvement Task Force Subcommittee to establish the State of Oklahoma Plan for the improvement of Forensic Sciences Services and achieve the set goals and objectives of the grant funding.

### **Sexual Assault Services Program Grant (SASP)**

The purpose of the Sexual Assault Services Program (SASP) Grant is to provide intervention, advocacy, accompaniment (i.e. accompanying victims to court, medical facilities, police departments, etc.) support services, and related assistance for adult, youth, and child victims of sexual assault, family and household members of victims, and those collaterally affected by sexual assault, except for the perpetrator for such victimization.

### **Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program (Rural DV)**

The primary purpose of the Rural Domestic Violence, Dating Violence, Sexual Assault and Stalking Assistance Grant (Rural Grant) is to enhance the safety of child, youth and adult victims of domestic violence, dating violence, sexual assault, and stalking by supporting projects uniquely designed to address and prevent these crimes in rural jurisdictions. OVW welcomes applications that propose innovative solutions for achieving this goal. The Rural Grant challenges victim advocates, law enforcement officers, pre-trial service personnel, prosecutors, judges and other court personnel, probation and parole officers, and leaders of faith-based and community organizations to collaborate to overcome the problem of domestic violence, dating violence, sexual assault, and stalking and to ensure that victim safety is paramount in providing services to victims and their children.

### **NICS Act Record Improvement Program (NARIP)**

NARIP, passed in 2007, was enacted to improve the completeness, automation, and transmittal of records to state and federal systems used by the National Instant Background Check System (NICS). Such records include criminal history records, records of felony convictions, warrants, records of protective orders, convictions for misdemeanors involving domestic violence and stalking, drug arrests and convictions, records of mental health adjudications, and others which may disqualify an individual from possessing or receiving a firearm under federal law. Helping states to automate these records will also reduce delays for law-abiding gun purchasers.

### **Project Safe Neighborhoods (PSN-North/East/West)**

Project Safe Neighborhoods (PSN) is designed to create and foster safer neighborhoods through a sustained reduction in violent crime. The program's effectiveness depends upon the ongoing coordination, cooperation, and partnerships of local, state, tribal, and federal law enforcement agencies working together with the communities they serve—engaged in a unified approach led by the U.S. Attorney (USA) in all 94 districts. Acting decisively in a coordinated manner at all levels—federal, state, local, and tribal—will help sustain recently achieved reductions in crime and keep our communities safe. PSN provides the critical funding, resources, and training for PSN teams—including law enforcement, prosecutors, community groups, researchers, and others—to combat violent crime and make their communities safer through a comprehensive approach to public safety that marries targeted law enforcement efforts with community engagement, prevention, and reentry efforts.

### **Coronavirus Emergency Supplemental Funding Program (CESF)**

CESF was created out of the CARES Act of 2020 to help states prevent, prepare for, and respond to the coronavirus. Allowable projects and purchases include, but are not limited to overtime, equipment (including law enforcement and medical personal protective equipment), hiring, supplies (such as gloves, masks, sanitizer), training, travel expenses (particularly related to the distribution of resources to the most impacted areas), and addressing the medical needs of inmates in state, local, and tribal prisons, jails, and detention centers.

### **Victims of Crime Act Grant (VOCA)**

The Crime Victim Assistance Grant Program is a result of the Victims of Crime Act signed by President Ronald Reagan on October 12, 1984. The Act is a federal law that provides financial assistance through the creation of the Crime Victims Fund to support a variety of services and activities to assist victims of crime. Money deposited into the Crime Victims Fund comes from various federal criminal fines, forfeitures, assessments and penalties. None of the money used by VOCA comes from taxpayer appropriations. Pursuant to the Act, priority is given to programs serving victims of sexual assault, spousal abuse, child abuse and underserved victims. The Act additionally gives each State the opportunity to meet the needs of all victims while encouraging priority categories. The nine member VOCA Board is charged with establishing state VOCA grant policies, reviewing grant proposals and determining awards for the funds.

### **Elder Abuse: Enhanced Multidisciplinary Teams (E-MDT)**

The E-MDT grant supports MDTs at the tribal, state, or local levels with special emphasis on better recognizing elder financial exploitation. These teams include forensic accountants, neuropsychologists, medical personnel, and/or other appropriate professionals that may evaluate the victim's cognitive abilities and capacity, so that case-related efforts more comprehensively consider and address the needs of older victims of financial exploitation and other forms of elder abuse. These victim-focused E-MDTs are to be designed to improve the case review process and associated systems. In addition to system coordination, these E-MDTs seek to better understand victims' priorities and needs, as well as determining effective responses to financial exploitation.

## GOALS OF MONITORING

Monitoring is one of the principal responsibilities of the Federal Grants Division. Each grant program is assigned a specific Grant Programs Specialist. It is the responsibility of the Grant Programs Specialist to assist the subgrantees in implementing the approved projects within a framework of relevant state and federal statutes, regulations, policies, procedures, and guidelines to achieve maximum success. To be effective, it is imperative that the monitoring process occurs throughout the course of the award period.

Through proactive monitoring of subgrantees, the Grant Programs Specialists can ensure that fiscal accountability and programmatic integrity are maintained. In addition, monitoring enables the Grant Programs Specialists to:

- Ensure that projects initiated by subgrantees are conducted in a manner consistent with the subgrantee's stated goals and objectives;
- Identify and resolve problems that may impede effective implementation of project;
- Collect data to provide comprehensive fiscal information and specified progress reports to the federal granting agency; and,
- Provide any needed consultation and technical assistance to the subgrantee.

It is essential to assess on an ongoing basis to ensure that the project is progressing toward the stated goals, objectives, and activities. If a project is not on a path to meet the stated objectives, the Grant Programs Specialist can assist in making adjustments and improvements as needed. By conducting project monitoring, the DAC demonstrates good stewardship of the federal funds and can accomplish a portion of the responsibilities as required of state-administering agencies.

## SCOPE AND TYPES OF MONITORING

There are several types of monitoring procedures that can be used to assist subgrantees and help ensure compliance: on-site monitoring, virtual monitoring utilizing platforms such as Teams and GoTo Meeting as an alternative to conducting full on-site visits, desk reviews, and phone monitoring.

Oklahoma utilizes a hybrid monitoring system for most grants. One year will consist of either a full on-site or virtual monitoring visit, while the next year will consist of a desk review. Subgrantees now have the choice of having the full monitoring review either on-site or as a virtual visit.

On-site or virtual monitoring allows the Grant Programs Specialists:

1. Interaction with the project staff to discuss specific issues related to the project, such as progress on goals and objectives, financial, and personnel issues.
2. To observe grant activity, review files, and make judgments about planned versus actual progress.
3. An opportunity to develop or continue a collaborative relationship between the state-administering agency and the subgrantee.

To conduct an on-site visit or virtual visit, the Grant Programs Specialist arranges a date with the subgrantee. The Project Director, the Fiscal Officer, and grant-paid staff members are required to attend the visit. A confirmation letter with a Pre-Monitoring Checklist is sent to the subgrantee.

In addition to on-site or virtual monitoring visits, the Grant Programs Specialists may conduct periodic desk reviews and/or telephone monitoring.

A desk review is conducted to:

1. Ensure the award to the subgrantee was appropriately executed;
2. Determine if the subgrantee is in compliance with the fiscal and programmatic reporting requirements;
3. Determine if the special conditions were met and properly cleared; and,
4. Assess the progress of the program and identify any problems encountered (e.g., fiscal or administrative).

To conduct a desk review, the Grant Programs Specialist requests various supporting documents from the subgrantee, such as invoices and receipts. Upon receiving the information, the Grant Programs Specialist reviews the information to ensure that the subgrantee has implemented the grant program according to relevant state and federal statutes, regulations, policies, procedures, and guidelines.

If concerns are found after conducting a desk review, the Grant Programs Specialist can utilize phone monitoring to clarify any concerns. Telephone monitoring can be used in conjunction with a desk review or as a monitoring mechanism in and of itself.

Prior to a telephone monitoring contact, the Grant Programs Specialist will review the subgrantee's file and compile a list of issues to discuss. Telephone monitoring takes the desk review a step further by contacting the project staff to discuss grant activities and project status. Telephone monitoring can also be used to communicate time sensitive information or can be used when on-site visits are not feasible.

## MONITORING CRITERIA FOR THE FEDERAL GRANT PROGRAMS

To prioritize monitoring, the Federal Grants Division has set criteria to direct the on-site and desk reviews of the grant programs. Of course, priority for monitoring is given to subgrantees where problems have been identified, implementation has been problematic, or where the subgrantee has specifically requested technical assistance. The Grant Programs Specialists follow these criteria in planning and implementing on-site visits.

### **1. Justice Assistance Grant (JAG)**

JAG subgrantees receive an initial Risk Assessment before they are awarded. Based on the initial Risk Assessment, no less than 50% of the JAG subgrantees will receive an on-site monitoring visit. The Grant Programs Specialist will select the subgrantees with which to conduct a site visit and the timeline in which the site visit will be conducted.

#### **A. Justice Assistance Grant Local Law Enforcement (JAG-LLE)**

JAG-LLE subgrantees receive an initial Risk Assessment before they are awarded. No on-site monitoring visits are required for this grant program. The subgrantees provide the following for the purchase of approved equipment: an initial quote, any purchase orders used, invoices, and copies of payment for the Grant Programs Specialist's review and closeout.

### **2. National Criminal History Improvement Project (NCHIP)**

NCHIP subgrantees receive an initial Risk Assessment before they are awarded. No on-site monitoring visits are required for subgrantees that request a Livescan only. These subgrantees provide the following for the purchase of approved equipment: an initial quote, any purchase orders used, invoices, and copies of payment for the Grant Programs Specialist's review and closeout. Based on the initial Risk Assessment, no less than 50% of all other subgrantees will receive an on-site monitoring visit.

### **3. Residential Substance Abuse Treatment Program (RSAT)**

RSAT subgrantees receive an initial Risk Assessment before they are awarded. Each RSAT subgrantee will receive an on-site monitoring visit attended by the subgrantee's project director and fiscal officer. In addition, based on the initial Risk Assessment, no less than 50% of the subgrantee's correctional sites, which are providing treatment services, will receive an observational visit.

### **4. S.T.O.P. Violence Against Women Grant (S.T.O.P. VAWA)**

VAWA subgrantees receive an initial Risk Assessment before they are awarded. Based on the initial Risk Assessment, no less than 50% of the S.T.O.P. VAWA subgrantees will receive an on-site monitoring visit. The VAWA Grant Programs Specialist will select the subgrantees with which to conduct a site visit and the timeline in which the site visit will be conducted.

- 5. Coverdell National Forensic Science Improvement Act Grant (NFSIA)** NFSIA subgrantees receive an initial Risk Assessment before they are awarded. Based on the initial Risk Assessment, no less than 50% of the subgrantees will receive an on-site monitoring visit.
- 6. Sexual Assault Services Program Grant (SASP)**  
SASP subgrantees receive an initial Risk Assessment before they are awarded. Based on the initial Risk Assessment, no less than 50% of the subgrantees will receive an on-site monitoring visit.
- 7. Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance (Rural DV)**  
Based on the initial Risk Assessment, no less than 50% of the subgrantees will receive an on-site monitoring visit.
- 8. NICS Act Improvement Program (NARIP)**  
NARIP subgrantees receive an initial Risk Assessment before they are awarded. Based on the initial Risk Assessment, no less than 50% of the subgrantees will receive an on-site monitoring visit.
- 9. Project Safe Neighborhoods (PSN-North/East/West)**  
Based on the initial Risk Assessment, no less than 50% of the subgrantees will receive an on-site monitoring visit
- 10. Coronavirus Emergency Supplemental Funding Program (CESF)**  
Based on the initial Risk Assessment, no less than 50% of the subgrantees will receive either an on-site monitoring visit or a desk monitoring review.
- 11. Victims of Crime Act Grant (VOCA)**  
VOCA subgrantees undergo a Risk Assessment, with no less than 50% of the subgrantees receiving an on-site monitoring visit. The VOCA Grant Programs Specialist will select the subgrantees with which to conduct a site visit and the timeline in which the site visit will be conducted.
- 12. Elder Abuse: Enhanced Multidisciplinary Teams (E-MDT)**  
E-MDT subgrantees receive an initial Risk Assessment before they are awarded. All subgrantees are monitored at least once during the grant period.

## RISK ASSESSMENT OF SUBGRANTEES

### **Purpose**

The purpose of conducting risk assessments on subgrantees is to create a proactive system insuring administrative, programmatic, and fiscal success of all subgrantees during the monitoring process. It is an acknowledgement that some subgrantees may need additional assistance to implement an effective project. The assignment of risk can change throughout the grant period, depending on changing circumstances. The risk assessment should not be viewed as a pejorative or punitive system, but as a tool to create a high functioning program.

### **Rating System**

At the beginning of each grant cycle, the Grant Programs Specialist will conduct a risk assessment of each subgrantee based on certain criteria.

The system is the assignment of a numeric value to each funded project based on certain criteria, listed below.

- 1 = Highest Risk
- 2 = Moderate Risk
- 3 = Lowest Risk

### **Criteria**

A program receives a risk value based on circumstances of the grant, past performance, individual situations, information gathered during the application or monitoring process, and other criteria deemed relevant by the Grant Programs Specialist. A value is assigned based on the number of criteria that apply.

- Highest Risk is 6 or more criteria
- Moderate Risk is 3-5 criteria
- Lowest Risk is 2 or less criteria

A subgrantee that has no history in successfully implementing a grant is automatically rated as a high risk.

The remaining criteria are set out below.

### **Administrative Criteria**

1. New Subgrantee.
2. There is a change in the Chief Executive Officer in the most recent grant year.
3. There is a change in the Project Director in the most recent grant year.
4. There is a change in the Fiscal Officer in the most recent grant year.
5. The subgrantee has been placed on Draw Hold for a fiscal or programmatic issue in the most recent grant year.

6. The subgrantee has had significant corrective action(s) in the most recent grant year.
7. The subgrantee did not receive an on-site monitoring visit in the previous year.
8. The subgrantee submits inaccurate or incomplete Award Documents.
9. There appears to be a division of duties/lack of internal controls within the agency.

### **Financial Criteria**

1. The subgrantee submitted two or more late or incorrect MFRs and or QFRs in the most current grant year.
2. The subgrantee submitted an incorrect revised budget.

### **Programmatic Criteria**

1. The subgrantee submitted late or incorrect Programmatic Reports in the most recent grant year.
2. The subgrantee submitted incorrect or incomplete revised goals and objectives.
3. The awarded project experienced a delayed start.
4. The subgrantee not making sufficient progress toward approved goals and objectives in the most recent grant year.
5. The subgrantee made a significant change in program goals in the most recent grant year.

### **Action**

**Based on the assigned value, the following course of action may be taken:**

- **If the subgrantee is new, a site visit will automatically be conducted.**
- For a high risk subgrantee, the Grant Programs Specialist will conduct a minimum of one site visit and additional desk monitoring, if necessary.
- For a moderate risk subgrantee, the Grant Programs Specialist will conduct a minimum of one site visit.
- For a low risk subgrantee, the subgrantee may not be monitored at all for that grant period. However, the Grant Programs Specialist will conduct a site visit if there was no site visit in the previous year. For all others in this category, the Grant Programs Specialist may conduct a site visit or a desk review if they deem it necessary.

## RESPONSIBILITIES OF THE GRANT PROGRAMS SPECIALIST

### 1. Programmatic, Administrative, and Financial Review of the Grant

In order to conduct an effective monitoring visit, the Grant Programs Specialist must:

- Possess a thorough understanding of the purpose, goals, objectives, timelines, special conditions of the award, and the budget of the project being monitored;
- Conduct periodic review of the files and telephone contacts with subgrantees;
- Adequately prepare prior to a site visit;
- Understand the structure of the organization being monitored so that the individuals most vital to the grant's activities, both financial and programmatic, can be interviewed; and,
- Be familiar with the Monitoring Report forms, whether paper or in the OKGrants system.

### 2. Scheduling the Visit

The Grant Programs Specialist will call the Project Director to arrange a mutually convenient time for a site visit. All key personnel involved in the grant should participate in the site visit. At a minimum, the Grant Programs Specialist should meet with the Project Director, the Fiscal Officer, and staff paid on the project.

The Grant Programs Specialist will send a letter or e-mail to the Project Director to confirm the date of the visit. The Grant Programs Specialist will place a copy or upload a copy of the confirmation in the subgrantee's file.

### 3. Preparing for the Site Visit

It is critical that the Grant Programs Specialist prepares in advance for the site visit. This includes compiling the materials to bring to the site visit and reviewing the subgrantee's file. The Grant Programs Specialists should:

- Identify any missing progress or financial reports;
- Check for any unmet special conditions of the award;
- Review the overall goals, objectives, and activities of the award;
- Develop a checklist of information, documents, or activities to be addressed; and,
- Enter the information into the Monitoring Report form in OKGrants or complete the information on the paper form.

It is important to review the subgrantee's application, including project goals and objectives against which the progress of the project will be measured. If issues or problems are noted, questions should be noted to ask the project staff so to increase the understanding of the circumstances and shed light on possible solutions.

### 4. Conducting the Site Visit

The Grant Programs Specialist is responsible for setting the tone of the site visit and establishing the expectations. The Grant Programs Specialist will introduce him or herself and explain the purpose of the visit emphasizing that this is not an audit. The

Grant Programs Specialist will utilize the Monitoring Report form developed for each grant program in conducting the site visit. The Monitoring Report form is to be used as a guide to direct the site visit. For grants in the OKGrants system, the Monitoring Report Forms are located in the Related Items section of the DAC Application Menu for each grant. For grants not included in the OKGrants system, the paper versions of the Monitoring Report forms should be used.

Any administrative and financial issues that were previously identified should be addressed. Finally, the Grant Programs Specialist will solicit any need for technical assistance from the subgrantee.

The Grant Programs Specialist will review the subgrantee's files to ensure that all grant -related documents are kept on file and that the information is current. The subgrantee's files should contain the following:

- The approved grant application;
- A signed copy of the award documents and special conditions;
- Progress Reports (PMT or MUSKIE);
- Monthly Financial Reports (MFR);
- Quarterly Financial Reports (QFR);
- Grant Adjustment Notices (GAN), and,
- Any correspondence relating to the grant.

#### **5. Site Visit Follow-Up**

Within three (3) weeks of the Grant Programs Specialist's return to the office from the site visit, a post-monitoring report must be submitted to the Federal Grants Division Director for signature, along with the follow-up letter to the subgrantee.

The report must identify the issues reviewed for compliance, any findings, any recommendations for corrective action, and a deadline for completing the corrective action. The letter should include a note of thanks for the assistance during the visit; especially to the staff that helped make the visit possible. The letter will be addressed to the Project Director from the Grant Programs Specialist, with a copy sent to the Agency Head as well as to the Authorized Official of the grant, if necessary. The site visit report is routed from the Grant Programs Specialist, through the Federal Grants Division Director, to the subgrantee's file.

The Grant Programs Specialist will report immediately any major concerns, such as fraud, waste, and abuse, as well as intentional and unintentional violations and serious irregularities as set forth in the specific grant program's Administrative and Financial Guide, to the Federal Grants Division Director.

## SUBGRANTEE FILES

It is critical to maintain complete and well-organized subgrantee files. The following directions have been developed to ensure consistency throughout all grant programs for subgrantee files.

For grants in the OKGrants system (JAG, JAG-LLE, VAWA, SASP, RSAT, and VOCA), a paperless system has been initiated. Grant files are kept electronically in OKGrants and in the DAC "G" Drive. Only financial documents are printed at this time.

For all other grants, the following method should be followed utilizing legal sized, six-divider files:

**Front Left:**

Original Application  
Budget Revisions and Budget Extension Requests

**Front Right:**

Purchase Order Contract  
Grant Adjustment Notice  
Change in Project Director/Fiscal Officer Form  
Backfill Verification Form  
Award Notice  
Special Conditions  
Special Conditions for Expenditure of Confidential Funds  
Authorization to Sign Form  
Certificate of Equal Employment Opportunity Plan  
Statement of Audit Arrangements  
Disclosure of Lobbying Activities  
Certification of Project Income

**Middle Left:**

Monthly request for funds

**Middle Right:**

Voucher Jacket/Claim Form

**Back Left:**

Quarterly report (Reporting of Subgrant Expenditures and Financial Status Form)  
Quarterly Status Report for Project Income

**Back Right:**

All other correspondence to and from subgrantees  
Inventory list  
Statement of Subgrant Equipment Purchases  
DAC Progress Reports  
Draw Holds  
Risk Assessment

## MONITORING TOOLS

A monitoring tool has been developed for each grant program. These are evolving documents and will be reviewed annually to ensure the most important questions are contained in the form.

The attached monitoring tool is generic for all grants administered in the Federal Grants Division and includes the following:

- JAG
- RSAT
- VAWA
- SASP
- VOCA

These grants are applied for online in OKGrants and all award documents, financial documents, programmatic documents and monitoring reports are kept online.

- NFSIA
- RURAL
- NARIP
- NCHIP
- PSN
- CESF
- E-MDT

These grants are still processed through paper applications. All award documents, financial documents, programmatic documents, and monitoring reports are kept in paper files.

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Revised April 13, 2020  
Revised February 4, 2020  
Revised April 21, 2017  
Revised February 7, 2017  
Revised June 7, 2016  
Revised December 2015  
Revised August 2015  
Revised January 2015  
Revised January 2014  
Revised July 2013  
Revised September 2012  
Revised April 3, 2012  
Revised March 12, 2012  
Revised January 5, 2010  
Revised December 17, 2007  
Revised November 9, 2006  
Revised July 5, 2006  
Revised June 10, 2005  
Revised October 8, 2003  
Revised July 11, 2003  
Revised February 18, 2003  
Revised June 5, 2002  
Developed March 15, 2002

**APPENDIX A**  
**MONITORING TOOL**

**DISTRICT ATTORNEYS COUNCIL  
Federal Grants Division  
421 N. W. 13<sup>th</sup> Street, Suite 290  
Oklahoma City, OK 73103**

**Subgrantee Monitoring Form**

- CESF     JAG     NARIP     NCHIP     NFSIA     E-MDT
- PSN     RSAT     Rural     SASP     VAWA

**Date:** \_\_\_\_\_

**Project Grant Number:** \_\_\_\_\_

**Project Name:** \_\_\_\_\_

**Agency Name:** \_\_\_\_\_

**Address:** \_\_\_\_\_

**City:** \_\_\_\_\_ **Zip:** \_\_\_\_\_ **Area Code/Phone Number:** \_\_\_\_\_

**Individuals Present for Site Visit**

**Names:**

_____	_____
_____	_____
_____	_____

**Grant Program Summary:**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_



B. Were the records organized and easy to locate? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

C. Federal Civil Rights Compliance Checklist

1. If the subrecipient is required to prepare an Equal Employment Opportunity Plan (EEO) in accordance with 28 C.F.R. pt. 42, subpt. E, does the subrecipient have an EEO on file for review? Yes \_\_\_\_\_ No \_\_\_\_\_ N/A \_\_\_\_\_

If yes, on what date did the subrecipient complete the EEO? \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

2. If the subrecipient is required to submit an EEO Utilization Report to the Office for Civil Rights (OCR), Office of Justice Programs (OJP), U.S. Department of Justice (DOJ) in accordance with 28 C.F.R. pt. 42, subpt. E, has the subrecipient done so?

Yes \_\_\_\_\_ No \_\_\_\_\_ N/A \_\_\_\_\_

If yes, what date did the subrecipient complete the EEO Utilization Report? \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

If yes, what is the date of the subgrantee's most recent EEO Utilization Report Approval Letter? \_\_\_\_\_

3. Has the subrecipient submitted a Certification Form to the OCR certifying compliance with the EEO requirements: Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, on what date did the subrecipient submit the Certification Form? \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

4. How does the subrecipient notify program participants and beneficiaries (e.g., through brochures, postings, or policy statements) that it does not discriminate in the delivery of services or benefits based on race, color, national origin, religion, sex, disability, and age (as well as sexual orientation and gender identity if the subrecipient receives funding from the Office on Violence Against Women (OVW) or under the Violence Against Women Act (VAWA) of 1994, as amended)?

Comments \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. How does the subrecipient notify employees and prospective employees (e.g., through advertisements, recruitment materials, postings, dissemination of orders or policies) that it does not discriminate on the basis of race, color, national origin, religion, sex, and disability (as well as sexual orientation and gender identity if the subrecipient receives funding from OVW)?

Comments \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

6. Does the subrecipient have written policies or procedures for notifying employees on how to file complaints alleging discrimination by the subrecipient?

Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, explain these policies or procedures. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

7. Does the subrecipient have written policies or procedures for notifying program participants and beneficiaries on how to file complaints alleging discrimination by the subrecipient, including how to file complaints with the District Attorneys Council and the Office of Civil Rights (OCR)? Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, explain these policies or procedures. \_\_\_\_\_

\_\_\_\_\_

If no, explain. \_\_\_\_\_

\_\_\_\_\_

8. If the subrecipient has fifty or more employees and receives DOJ funding of \$25,000 or more, has the subrecipient taken the following actions:

- a) Adopted grievance procedures that incorporate due process standards and provide for the prompt and equitable resolution of complaints alleging a violation of the DOJ regulations implementing Section 504 of the Rehabilitation Act of 1973, found at 28 C.F.R. pt. 42, subpt. G, which prohibits discrimination on the basis of disability in employment practices and the delivery of services?

Yes \_\_\_\_\_ No \_\_\_\_\_ N/A \_\_\_\_\_

- b) Designated a person to coordinate compliance with the prohibitions against disability discrimination in 28 C.F.R. pt. 42, subpt. G?

Yes \_\_\_\_\_ No \_\_\_\_\_ N/A \_\_\_\_\_

- c) Notified program participants, beneficiaries, employees, applicants, and others that the subrecipient does not discriminate on the basis of disability?

Yes \_\_\_\_\_ No \_\_\_\_\_ N/A \_\_\_\_\_

Comments \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

9. If the subrecipient operates an educational program or activity, has the subrecipient taken the following actions:

- a) Adopted grievance procedures that provide for the prompt and equitable resolution of complaints alleging a violation of the DOJ regulations implementing Title IX of the Education Amendments of 1972, found at 28 C.F.R. pt. 54, which prohibit discrimination on the basis of sex?

Yes \_\_\_\_\_ No \_\_\_\_\_ N/A \_\_\_\_\_

- b) Designated a person to coordinate compliance with the prohibitions against sex discrimination contained in 28 C.F.R. pt. 54?

Yes \_\_\_\_\_ No \_\_\_\_\_ N/A \_\_\_\_\_

c) Notified applicants for admission and employment, employees, students, parents, and others that the subrecipient does not discriminate on the basis of sex in its educational programs or activities?

Yes \_\_\_\_\_ No \_\_\_\_\_ N/A \_\_\_\_\_

Comments \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

10. Has the subrecipient complied with the requirements to submit to the OCR any adverse findings of discrimination against the subrecipient based on race, color, national origin, religion, or sex that are the result of a due process hearing conducted by a federal or state court or a federal or state administrative agency?

Yes \_\_\_\_\_ No \_\_\_\_\_ N/A \_\_\_\_\_

Comments \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

11. What steps has the subrecipient taken to provide meaningful access to its programs and activities to persons who have limited English proficiency (LEP)?

Comments \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

12. Does the subrecipient have a written language-access policy on providing services to LEP persons? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

13. Does the subrecipient provide federally funded services to eligible beneficiaries regardless of religion, a religious belief, a refusal to hold a religious belief, or a refusal to attend or participate in religious practice? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

14. If the subrecipient engages in explicitly religious activities, does it do the following?

a) Separate the explicitly religious activities in either time or location from the federally funded activities:

Yes \_\_\_\_\_ No \_\_\_\_\_ N/A \_\_\_\_\_

b) Ensure that participation in the explicitly religious activities is voluntary for participants in the federally funded program?

Yes \_\_\_\_\_ No \_\_\_\_\_ N/A \_\_\_\_\_

Comments \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

15. If the subrecipient receives funding from OVW, does it serve male victims of sexual assault, domestic violence, dating violence, and stalking?

Yes \_\_\_\_\_ No \_\_\_\_\_

Comments \_\_\_\_\_  
\_\_\_\_\_

16. If the subrecipient receives funding from OVW, does the subrecipient provide sex-segregated or sex-specific services?

Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, describe how the services are sex-segregated or sex-specific. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

If yes, has the subrecipient determined that providing services that are sex-segregated or sex-specific is necessary to the essential operation of the program?

Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, describe how the subrecipient determined that providing sex-segregated or sex-specific services is necessary to the essential operation of the program.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

17. Has your agency received any complaints of discrimination from employees or beneficiaries of the services provided? Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, how was the complaint handled? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

18. If you received such a complaint, what would your process or procedures be?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**\*Notify the subrecipient that if they do receive such a complaint, they must notify DAC.**

**2. Personnel \_\_\_\_\_ Not Applicable**

A. How many personnel are assigned to this project? \_\_\_\_\_

B. Names of persons/percentage of time paid with grant: \_\_\_\_\_  
\_\_\_\_\_

C. Are all authorized staff positions filled? Yes \_\_\_\_\_ No \_\_\_\_\_  
If no, explain. \_\_\_\_\_  
\_\_\_\_\_

D. Have any positions been back filled? Yes \_\_\_\_\_ No \_\_\_\_\_  
If yes, name of back fill and date? \_\_\_\_\_  
\_\_\_\_\_

E. Were the time and attendance records for personnel assigned to the project reviewed? Yes \_\_\_\_\_ No \_\_\_\_\_  
If no, explain. \_\_\_\_\_  
\_\_\_\_\_

F. Were the time and attendance records in accordance with the financial guide?

Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

G. Was an I-9 (Immigration and Naturalization Service Employment Eligibility Form) on file for each employee?

Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

H. If an employee is less than 100% time, is the subgrantee reconciling time?

Yes \_\_\_\_\_ No \_\_\_\_\_ N/A \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

**3. Equipment Purchases \_\_\_\_\_ Not Applicable**

A. Has all equipment been purchased?

Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain delays. \_\_\_\_\_  
\_\_\_\_\_

B. Are equipment purchases consistent with grant award?

Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

C. Have all receipts been retained for the equipment purchased?

Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

D. Do these receipts match what is shown on the ledger?

Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

E. Are property records maintained by the subgrantee adequate?

Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

F. Will the equipment purchased continue to be used for the project purpose after the completion of this funding period? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

G. Was the equipment actually viewed by the monitor? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

**4. Travel \_\_\_\_\_ Not Applicable**

A. Are expenditures for travel adequately documented with claims/receipts?

Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

B. Do these receipts match what is shown on the ledger? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

C. Are travel expenditures in compliance with travel requirements?

(i.e., mileage, per diem rates)

Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

D. If subgrantee is a DAs Office, are travel claims being paid through DAC (with money sent to DAC specifically marked for travel)?

Yes \_\_\_\_\_ No \_\_\_\_\_ N/A \_\_\_\_\_

If no, explain. \_\_\_\_\_

**5. Supplies and Operating Expenses \_\_\_\_\_ Not Applicable**

A. Does subgrantee retain receipts?

Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

B. Do these receipts match what is shown on the ledger? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

C. Are all items purchased consistent with the approved budget?

Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

**6. Professional and Contractual Service \_\_\_Not Applicable**

A. Is a formal contract on file outlining specifically the work to be performed by the consultant?

Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

B. Does the statement of work to be performed agree with the grant award?

Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

C. Were consultants utilized and paid a fee while employed by unit of government?

Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

D. Was the \$650 per day consultant fee limitation observed? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

E. Were the contracts competitively bid?

Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

F. If contracts were not the result of competitive bids, is there a sole source justification?

Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

**7. Facilities and Rentals \_\_\_\_\_Not Applicable**

A. Does the subgrantee own the building or have a substantial financial interest in the property?

Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, is there a written policy or agreement that details the basis for cost allocation?

Yes \_\_\_\_\_ No \_\_\_\_\_

If not, does subgrantee have a signed contract?

Yes \_\_\_\_\_ No \_\_\_\_\_

B. Is the rent proportional to the personnel funded through the grant program?

Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

C. Are receipts properly maintained?

Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

D. Do these receipts match what is shown on the ledger?

Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

E. If used as an in-kind match, is there supporting documentation (i.e., value, properly authorized agreement donating facility)? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

**8. Other \_\_\_\_\_Not Applicable**

A. Does subgrantee retain receipts? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

B. Do these receipts match what is shown on the ledger? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

C. Are all items purchased consistent with the approved budget? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

**9. Indirect Costs \_\_\_\_\_ Not Applicable**

A. Has the indirect cost rate changed since awarded? Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, explain. \_\_\_\_\_  
\_\_\_\_\_

B. What base was used to calculate indirect costs?

Explain \_\_\_\_\_  
\_\_\_\_\_

C. What expenses are being paid for with indirect costs?

Explain \_\_\_\_\_  
\_\_\_\_\_

D. Are direct costs being paid for with indirect costs? Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, explain. \_\_\_\_\_  
\_\_\_\_\_

**C. SPECIAL CONDITIONS**

1. Has the subgrantee used any federal funds, either directly or indirectly, in support of the enactment, repeal, modification or adoption, of any law, regulation, or policy at any level of government? Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, explain. \_\_\_\_\_  
\_\_\_\_\_

2. Does the subgrantee assure that the policies and practices of the service area comply with Oklahoma State Law and do not require, in connection with the prosecution of a misdemeanor or felony domestic violence offense, that the victim bear the costs associated with the filing of criminal charges against the domestic violence offender, or the costs associated with the issuance or service of a warrant, protection order, and/or witness subpoena. Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

**OVW Grants Only**

3. Does the subgrantee assure that monies are not being used for activities that may compromise victim safety, such as failing to respect the victim's autonomy and decision-making in order to advance offender accountability? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

4. Is the subgrantee complying with the confidentiality requirements and is not disclosing personally identifying information about victims served with OVW funds without a written release unless the disclosure of the information is required by a statute or court order? Yes\_\_\_No\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

**RSAT Grants Only**

5. For a **state correctional program**, is the subgrantee complying with the following:

- a) Implementing a program that lasts between six and twelve months? Yes\_\_\_\_\_No\_\_\_\_\_
- b) Providing residential treatment facilities where participating prisoners are set apart from the general correctional population. Set-apart means a completely separate facility or a dedicated house unit with a facility exclusively for use by program inmates? Yes\_\_\_\_\_No\_\_\_\_\_
- c) Focusing on substance problems of the inmate? Yes\_\_\_\_\_No\_\_\_\_\_
- d) Developing the inmate’s cognitive, behavioral, social, vocational, and other skills? Yes\_\_\_\_\_No\_\_\_\_\_
- e) Using urinalysis and/or other proven reliable forms of drug and alcohol testing for those enrolled in the RSAT programs and post program while they remain in the custody of the state? Yes\_\_\_\_\_No\_\_\_\_\_

Comments \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

6. For a **jail-based program**, is the subgrantee complying with the following:

- a) Implementing a program that lasts at least three months? Yes\_\_\_\_\_No\_\_\_\_\_
- b) Making every effort to set apart the treatment population from the general correctional population? Yes\_\_\_\_\_No\_\_\_\_\_
- c) Focusing on substance abuse problems of the inmate? Yes\_\_\_\_\_No\_\_\_\_\_
- d) Developing the inmate’s cognitive, behavioral, social, vocational, and other skills to solve the substance abuse and related problems? Yes\_\_\_\_\_No\_\_\_\_\_

- e) Using urinalysis and/or other proven reliable forms of drug and alcohol testing for those enrolled in the RSAT programs and post program while they remain in the custody of the state? Yes\_\_\_\_No\_\_\_\_
- f) Being science based and effective? Yes\_\_\_\_No\_\_\_\_
- g) Funds are not being used to operate a “pay-to-stay” program? Yes\_\_\_\_No\_\_\_\_
- h) The jail is not operated under a trust authority? Yes\_\_\_\_No\_\_\_\_

Comments \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**JAG Task Force Grants Only**

7. Is the DTF using the HIDTA Deconfliction Program maintained and operated by the OBN?

Yes\_\_\_\_No\_\_\_\_

If no, explain. \_\_\_\_\_  
 \_\_\_\_\_

8. Is a medical screening provided to all personnel assigned to the seizure or closure of meth labs? Yes\_\_\_\_No\_\_\_\_

If no, explain. \_\_\_\_\_  
 \_\_\_\_\_

If yes, list names and dates of medical screenings. \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

9. Is the subgrantee ensuring all personnel have attended OSHAs required initial and refresher training?

Yes\_\_\_\_No\_\_\_\_

If no, explain. \_\_\_\_\_  
 \_\_\_\_\_

If yes, list names and dates of attendance. \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

10. Do personnel have required OSHA protective gear and other safety equipment?

Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

11. Are qualified disposal personnel removing all chemicals, associated glassware, equipment, and contaminated materials and wastes for the sites of seized labs? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

12. Are all chemicals, equipment, and contaminated materials disposed of at licensed disposal facilities, or when allowable, at properly licensed recycling facilities? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

13. Is the DTF monitoring the transport, disposal, and recycling components? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

**D. PROJECT IMPLEMENTATION/IMPACT**

- 1. How are the project goals and objectives being achieved? – See the Goals and Objectives printed from the agency’s application in OKGrants.
- 2. What is the major accomplishment of this project? What are you most proud of? What has been the significant impact?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

- 3. Have you experienced any barriers in implementing this project?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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4. Are there local coordination efforts among law enforcement, courts, prosecution, or victim service providers?

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5. Are there any difficulties with coordination with Law Enforcement, Courts, Prosecution, or Victim Service Providers?

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**6. OVW Prosecution Grants Only**

How often is evidenced based prosecution used?

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What specific training would you like to have related to domestic violence, stalking, and sexual assault?

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**7. RSAT Grants Only**

a) How many offenders are participating in the program? \_\_\_\_\_

b) How many beds are there for this program? \_\_\_\_\_

c) How many offenders began the program during this grant period? \_\_\_\_\_

d) How many offenders have dropped out? \_\_\_\_\_

e) How many offenders have been terminated? \_\_\_\_\_

If terminated why? \_\_\_\_\_

\_\_\_\_\_

f) How many offenders have graduated from the program during the reporting period? \_\_\_\_\_

g) How many offenders in the program have had a positive UA during the reporting period? \_\_\_\_\_

h) What curricula are being used for the program? \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

i) What after-care services are provided for the offenders?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

j) Over the last year, what if any, changes have occurred in your program?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

k) When was the last CPC conducted on the program? \_\_\_\_\_

l) Was DAC provided with a copy? Yes \_\_\_\_\_ No \_\_\_\_\_

m) What changes have been made as a result?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**E. ADMINISTRATING AGENCY**

1. Have there been any problems or delays in receiving the grant draw down from DAC?

Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, explain. \_\_\_\_\_

\_\_\_\_\_

2. Do you have any training or technical assistance needs?

Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, explain. \_\_\_\_\_

\_\_\_\_\_

3. Is there anything DAC can do to assist you?

\_\_\_\_\_

\_\_\_\_\_

**F. PROJECT REPORTING/EVALUATOR**

1. Who is responsible for completing the progress reports? \_\_\_\_\_

2. Are progress reports submitted on time? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_

\_\_\_\_\_

3. Are progress reports completed properly? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_

\_\_\_\_\_

**G. FINANCIAL INFORMATION**

**1. General Financial**

A. Name of person who maintains the account ledger for all expenditures of the grant funds.

\_\_\_\_\_

B. Does the subgrantee maintain a general ledger? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_

\_\_\_\_\_

C. Does the subgrantee maintain a separate ledger for grant funds?

Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain: \_\_\_\_\_

\_\_\_\_\_

D. What is the source of the match (forfeiture funds, private funds, etc.)?

\_\_\_\_\_

E. Are there any concerns about the expenditure of the match for this grant award?

Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, explain: \_\_\_\_\_

\_\_\_\_\_

F. Has the organization ever fired an employee who allegedly embezzled funds?

Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, explain: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

G. Has the organization ever been involved in a civil case regarding federal grant funds?

Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, explain: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

H. Has the organization ever filed bankruptcy?

Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, explain: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

I. Is the organization delinquent on any federal debts?

Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, explain: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

J. Has the organization ever been on the IRS' Auto-revocation list?

Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, explain: \_\_\_\_\_

\_\_\_\_\_

## 2. Project Income

A. Does your project generate income?

Yes \_\_\_\_\_ No \_\_\_\_\_

B. Does all reported income meet the definition?

Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_

\_\_\_\_\_

C. Do the orders and notices/petitions correspond to the reported project income? **JAG ONLY**

Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_

\_\_\_\_\_

D. Does the subgrantee maintain a ledger showing all project income expenditures?

Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_

\_\_\_\_\_

E. Is subgrantee accurately reporting all project income?

Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_

\_\_\_\_\_

## 3. Confidential Funds – JAG Only

A. Does the subgrantee have Standard Operating Procedures (SOP) in place? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_

\_\_\_\_\_

If yes, was a copy requested? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_

\_\_\_\_\_

B. Are valuables (weapons, cash, evidence, contraband, etc.) properly handled? Yes\_\_\_\_No\_\_\_\_

Please describe the procedure: \_\_\_\_\_  
\_\_\_\_\_

C. Does subgrantee have a safe? Yes\_\_\_\_No\_\_\_\_

If no explain: \_\_\_\_\_  
\_\_\_\_\_

If yes, who has access? \_\_\_\_\_

D. Who has authorization to approve purchases, cash advances, etc.? \_\_\_\_\_

E. Is cash for buys returned within 48 hours if not expended? Yes\_\_\_\_No\_\_\_\_

If not, how often does money check-in occur? \_\_\_\_\_

F. Select a sample of expenditures from confidential funds and perform the following test:

1. Trace to confidential informant (CI) files to ensure files are kept in accordance with BJA standards (i.e., fingerprints, alias photograph, signatures, criminal history, locked). Comments: \_\_\_\_\_  
\_\_\_\_\_

2. Review receipts to ensure the following items are accurately reflected: dual signatures, proper documentation, CI signature (where applicable), and etc.

Comments: \_\_\_\_\_  
\_\_\_\_\_

G. Are expenditures from confidential funds for purchase of evidence, information, or services only? Yes\_\_\_\_No\_\_\_\_

If no, explain: \_\_\_\_\_  
\_\_\_\_\_

H. Does cash on hand agree with amount listed on safe log? Yes\_\_\_\_No\_\_\_\_

If no, explain: \_\_\_\_\_  
\_\_\_\_\_

**4. Audit \_\_\_\_A-133 Audit Not Required**

A. Does your agency expend more than \$750,000 from all sources of federal funds in one year?

\*If yes, an audit is required. Yes\_\_\_\_No\_\_\_\_

B. What was the date of the last audit? \_\_\_\_\_

C. Who performed the last audit? \_\_\_\_\_

D. Was a copy of the audit sent to DAC? Yes \_\_\_\_\_ No \_\_\_\_\_

If not, when will it be sent? \_\_\_\_\_

E. Were there findings relative to the federal funds? Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, what were the findings? \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

F. If so, have the findings been resolved? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_

\_\_\_\_\_

G. When is the next audit scheduled? \_\_\_\_\_

## 5. Financial Review

A. Are the expenditures in accordance with the grant award? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_

\_\_\_\_\_

B. Have any A-3's – Request for Funds been late or incorrect? Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, explain. \_\_\_\_\_

\_\_\_\_\_

C. Have any A-7's – Quarterly Reports been late or incorrect? Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, explain. \_\_\_\_\_

\_\_\_\_\_

D. Date of the quarterly report that was reviewed? \_\_\_\_\_

E. Did the quarterly report tie to the ledger? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_

\_\_\_\_\_

**H. BOARD INFORMATION FOR NON-PROFIT AGENCIES**

1. How many members are on the board? \_\_\_\_\_

2. Was the board roster reviewed? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

3. How often does the board meet? \_\_\_\_\_

4. Were the minutes of the last three meetings reviewed? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

5. Are the board meetings open to the public? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

6. Does the board follow Robert’s Rules of Order? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

7. Are there any issues between the board and the staff of the organization?

Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, explain: \_\_\_\_\_

8. Does the board have any training needs? Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, explain: \_\_\_\_\_

**I. TASK FORCE MEETINGS – JAG only**

1. Does the task force hold regular meetings of the participants? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_  
\_\_\_\_\_

2. Does the task force have a signed interagency agreement? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_

\_\_\_\_\_

If yes, was a copy obtained? Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, list the agencies. \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

3. What units of local, state, and federal government do you coordinate with? \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

4. Identify any emerging issues or notable trends impacting drug task forces in your area.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**J. CLOSE OUT REQUIREMENTS**

1. Is subgrantee complying with close out requirements of past grants? Yes \_\_\_\_\_ No \_\_\_\_\_

If no, explain. \_\_\_\_\_

\_\_\_\_\_

**POST-SITE MONITORING REPORT**

Summary/Recommendations \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

I certify that the above-listed categories were monitored and all findings and /or recommendations were listed. It appears the subgrantee, except where noted, is in compliance with all applicable federal and state laws, regulations, and guidelines.

\_\_\_\_\_  
Programs Specialist

\_\_\_\_\_  
Date

I have reviewed the above information and agree with the report findings and or/corrective actions taken or proposed. The subgrantee, based on the findings of this review, except where noted, appears in compliance with the Violence Against Women Act and all pertinent federal and state requirements.

\_\_\_\_\_  
Federal Grants Division Director

\_\_\_\_\_  
Date

\_\_\_\_\_ Re-monitoring Unnecessary

\_\_\_\_\_ No Corrective Actions

\_\_\_\_\_ Suggest Re-monitoring

\_\_\_\_\_ Corrective Actions Required

Revised: April 2023

**DISTRICT ATTORNEYS COUNCIL**  
**VICTIM SERVICES DIVISION**  
Oklahoma City, OK  
1-800-745-6098

Sub-recipient Name: Click or tap here to enter text.

Grant Period: Click or tap here to enter text.

Monitoring Start Time: Click or tap here to enter text.

Monitoring End Time: Click or tap here to enter text.

Staff Attending Review: Click or tap here to enter text.

Physical Location: Click or tap here to enter text.

Address of Record? Yes  No

Mailing Address (if different from above): Click or tap here to enter text.

---

Phone: Click or tap here to enter text.

Email: Click or tap here to enter text.

Type of Agency: Choose an item.

VOCA Grant #: Click or tap here to enter text.

Approved Amount: Click or tap here to enter text.

Match Amount: Click or tap here to enter text.

### **Pre-Monitoring Sub-Recipient Assessment**

Reviewer: Click or tap here to enter text.

Date of last site review: Click or tap here to enter text.

Date of last desk audit: Click or tap here to enter text.

Site visit scheduled date: Click or tap here to enter text.

Site Visit Letter Sent date: Click or tap here to enter text.

Rescheduled? Yes  No  Reason: Click or tap here to enter text.

Risk Assessment: Choose an item. Routine Visit: Choose an item.

Change from previous risk assessment? Choose an item.

Significant findings or questioned costs from previous audit(s)? Choose an item.

Known fiscal management problems or financial instability? Choose an item. Previous grant experience? Choose an item.

Previous financial and compliance monitoring? Choose an item.

Known programmatic noncompliance? Choose an item.

Other known issues of noncompliance? Choose an item.

Explain: [Click here to enter text.](#)

## General Administration

1. To date, how many victims have received VOCA services in the following categories?

Child Abuse: [Click or tap here to enter text.](#)

Sexual Abuse: [Click or tap here to enter text.](#)

Domestic Violence: [Click or tap here to enter text.](#)

Underserved: [Click or tap here to enter text.](#)

Please specify: [Click or tap here to enter text.](#)

Is this consistent with the SAR? Choose an item. If not, please update the SAR and email to: [VOCAhelp@dac.state.ok.us](mailto:VOCAhelp@dac.state.ok.us)

2. Are all victim services provided free of charge to victims? Choose an item.
3. Is the Drug-Free Workplace policy posted? Choose an item.
4. Are there formal agreements with area hospitals, public agencies, non-profits, law enforcement, etc. for providing referral services? Choose an item.
5. Are there any performance or compliance concerns that the agency has related to grant funded activities? Choose an item.
6. Is the agency a party in any civil or criminal lawsuit? Choose an item.
7. Is the agency aware of any media coverage related to staff conduct and/or activities of the agency? Choose an item.
8. Does the agency use car seats for transporting children as required by law? Choose an item.
9. Does the agency have a written policy prohibiting employees on duty from texting while driving? Choose an item.
10. Are the facilities appropriate for the services being furnished? Choose an item. If yes, describe: [Click or tap here to enter text.](#)
11. Are the facilities clean, safe, and well maintained? Choose an item.
12. Are the facilities appropriate for the services being furnished? Choose an item.
13. Are the facilities easily accessible for victims with disabilities? Choose an item.

- 14.If applicable, is there a suitable children's play space with toys and equipment?  
Choose an item.
15. Were the areas used for VOCA funded activities viewed? Choose an item.
16. Please describe the division of duties between the Project Director and Financial Officer  
Click or tap here to enter text.
- 17.What proof of non-profit status was provided during the visit (e.g., most recent 990 filed with the IRS)?  
Click or tap here to enter text.

## Civil Rights

1. Does the agency notify program participants and beneficiaries that it does not discriminate on the basis of race, color, national origin, religion, sex, disability, age; and (if a recipient of funding authorized by the Violence Against Women Act of 1994 - VAWA- or its subsequent enactments, sexual orientation and gender identity, in the delivery of services (e.g., posters, inclusion in brochures or other program materials)? Choose an item.
2. Does the agency notify employees & volunteers that it does not discriminate on the basis of race, color, national origin, religion, sex, disability; and if a VAWA recipient, sexual orientation and gender identity, in employment practices (e.g., posters dissemination of relevant orders or policies, inclusions in recruitment materials)? Choose an item.
3. Is an EEOP on file for review? Choose an item. (N/A if agency not required based on 28 C.F.R. 42.302-.3080. If applicable, what date did agency prepare the EEOP? Click or tap here to enter text.
4. Is agency required to submit EEOP Utilization Report to the OCR? Choose an item. If yes, date submitted to OCR.
5. Does the agency have written policies or procedures in place for notifying employees how to file complaints alleging discrimination by the agency?  
Choose an item.
6. Does agency have 50 or more employees and received DOJ funding of \$25,000 or more? If yes, has the agency designated a person to coordinate compliance with the prohibitions against disability discrimination contained in C.F.R. Part 42? Choose an item.  
Name of person: Click or tap here to enter text. Title: Click or tap here to enter text.
7. If yes, has agency adopted grievance procedures that incorporate due process standards and provide resolution of complaints alleging a violation of the DOJ regulations implementing Section 504 of the Rehabilitation Act of 1973 (found at C.F.R. Part 42, subpart G, which prohibits discrimination based on disability in employment practices and the delivery of services. Choose an item.

8. Does agency operate an educational program or activity? Choose an item.
9. If yes, has agency adopted grievance procedures that provide for the prompt and equitable resolution of complaints alleging a violation of the DOJ regulations implementing Title IX of the Education Amendments of 1972 (found at 28 C.F.R. Part 54) which prohibit discrimination on the basis of sex? Choose an item.
- 10.If yes, has the agency designated a person to coordinate compliance with the prohibitions against sex discrimination contained in 28 C.F.R. Part 54? Choose an item.
- 11.If yes, has agency notified applicants for admission and employment, employees, students, parents, and others that the agency does not discriminate based on sex in its education programs or activities? Choose an item.
- 12.Has agency had a finding of discrimination by a federal or state court or a federal or state administrative agency on the grounds of race, color, religion, national origin, or sex during the last three years? Choose an item.
- 13.If yes, has agency complied with the requirement to submit the finding to the OCR? If so, what date was the finding submitted? Click or tap here to enter text.
- 14.Does agency conduct any training for its employees on the requirements under federal civil rights laws? Choose an item.
- 15.Does agency need any civil rights training or technical assistance to comply with civil rights laws? Choose an item.
- 16.Does agency conduct religious activities as part of its programs or services? Choose an item.
- 17.If yes, does agency ensure that it does not use federal funds to conduct explicitly religious activities, such as prayer, religious instruction, or proselytization, and that such activities are kept separate in time or place from federally funded activities? Choose an item.
- 18.If yes, does agency provide services to everyone regardless of religion or religious belief? Choose an item.
- 19.If yes, does agency ensure that participation in religious activities is voluntary for beneficiaries of federally funded programs? Choose an item.
20. Does agency provide sex-segregated or sex-specific services? Choose an item. If applicable, describe how: Click or tap here to enter text.
- 21.Does agency determined that providing sex-segregated or sex-specific services are necessary to the essential operation of the program? Choose an item. How was this determined? Click or tap here to enter text.

## Limited English Proficiency

1. Has agency taken steps to provide meaningful access to its programs and activities to person who have limited English proficiency (LEP)? Choose an item.
2. Does agency have a written policy on providing language access services to LEP persons? Choose an item.
3. Is the plan periodically evaluated and revised if necessary? Choose an item.
4. Has the agency completed an assessment of the number or proportion of LEP persons from a particular language group served or encountered in the eligible service population? Choose an item.
5. Does your agency have a process for surveying, collecting and /or recording primary language data program participants? Choose an item. If so, describe the categories used in the collection of data, where the data resides, and who can access the data. Click or tap here to enter text.
6. Does your agency have a staff member(s) assigned to coordinate language access activities? Choose an item. If so, list Name(s): Click or tap here to enter text. Title(s): Click or tap here to enter text.
7. At what point(s) might an LEP person interact with your agency? Click or tap here to enter text.
8. Is language assistance available at these points? Choose an item.
9. How many employees in your agency speak a language other than English? Click or tap here to enter text.
10. Does your agency utilize employees in your organization as interpreters? Choose an item. If yes, employees in our agency provide interpreter skills:  
Some of the time  Most of the time  Always
11. What outside sources (other than employees) does your agency utilize for interpreters?  
Contract interpreters  Telephone services  Community-based Organizations   
Language banks  Other (specify) : Click or tap here to enter text.
12. For what languages (other than English) are interpreters most commonly used? Click or tap here to enter text.
13. Does your agency use (or allow the use of) an LEP person's friends, family members, or other informal interpreters? Choose an item. If yes, under what circumstances? Click or tap here to enter text.

## Record Keeping and Confidentiality

1. Does the agency have a written confidentiality policy that applies to victims and case records? Choose an item.
2. Does the policy describe circumstances where advocates must obtain permission from victims to disclose information with anyone outside of the agency? Choose an item.
3. Does the policy prescribe procedures to ensure confidentiality of records in storage and their destruction? Choose an item.
4. What staff members have access to these records? Click or tap here to enter text.
5. How are electronic and paper records safeguarded from unauthorized access? Click or tap here to enter text.
6. Are confidentiality releases written and time limited? Click or tap here to enter text.
7. How does the agency practice "informed consent"? Are advocates able to articulate this? Click or tap here to enter text.
8. Does the agency have a written policy on how to respond to a PII (Personally Identifiable Information) or confidentiality breach? Does the policy include reporting the incident to DAC within 12 hours of occurrence? Click or tap here to enter text.

## Financial

1. Is there a separate accounting of federal grant funds? Choose an item.
2. Is a separate ledger of grant funds being kept? Choose an item.
3. Are the requirements for match being met? (25% of grant funds) Choose an item. If not, explain: Click or tap here to enter text.
4. Can the match be verified in the accounting ledger? Choose an item.
5. What is the source of the match? Click or tap here to enter text.
6. Is match being reported in a timely manner? Choose an item.
7. Do deposits and expenditures in the ledger match what was reported on the monthly MFR reports? Choose an item. If not, explain: Click or tap here to enter text.
8. Are expenditures in accordance with the grant award? Choose an item.

9. The VOCA grant is a reimbursement grant. Describe the agency's ability to cover expenses prior to reimbursement. (cash flow) [Click or tap here to enter text.](#)
10. Are quarterly reports (QFRs) turned in on time? Choose an item.  
If not, explain: [Click or tap here to enter text.](#)
11. Have Bank Statements been reviewed for the quarter examined? Choose an item. If not, explain: [Click or tap here to enter text.](#)
12. Is any income generated as a result of the grant funded project? Choose an item.

***\*This income can only be used to make additional services available to crime victims. An A-5 Project Quarterly status Report needs to be submitted to DAC each quarter. THERE CAN BE NO CHARGE TO VICTIMS FOR GRANT-FUNDED SERVICES.***

### **Personnel & Volunteers**

1. Do job descriptions exist for all administrative and program staff (paid and volunteer), including criteria for training/experience (when applicable) and placement within the organizational chain of supervision? [Choose an item.](#)
2. Are volunteers utilized? [Choose an item.](#) # of volunteers: [Click or tap here to enter text.](#) Hours per week: [Click or tap here to enter text.](#) (Including weekends)  
Is the subgrantee having trouble finding volunteers? [Choose an item.](#)  
If yes, what efforts have been made to recruit volunteers? [Click or tap here to enter text.](#)
3. Does agency have a current organizational chart of staff and volunteers? [Choose an item.](#)
4. Does agency have written guidelines describing training requirements for paid and volunteer staff? [Choose an item.](#)
5. Agency had grant funded staff changes during grant period? [Choose an item.](#)  
If yes, was Personnel Form uploaded? [Choose an item.](#)
6. Agency has written policies for hiring, terminating, evaluating, and staff development? [Choose an item.](#)
7. Agency has written procedures for staffing, including workload distributions and staff-client ratios? [Choose an item.](#)
8. Agency has written procedures for assessing and maintaining an environment of nondiscrimination in employment? [Choose an item.](#)
9. Agency has written guidelines prohibiting sexual and other forms of unlawful harassment in the workplace, and provides a means by which harassment can be reported, including situations when the harasser is in the individual's chain of supervision? [Choose an item.](#)
10. Agency has written volunteer recruitment policy/protocol? [Choose an item.](#)

11. Does agency utilize interns as volunteers? Choose an item.
12. Agency conducts a third-party criminal history and background screening of all employees, subcontractors, and volunteers before providing access to child and adult victims and records? Choose an item.
13. Are staff salaries consistent with the grant award? Choose an item.
14. Are all authorized staff positions filled? Choose an item.
15. Is there a high level of VOCA staff turnover? Choose an item.
16. Is there an I-9 (Immigration and Naturalization Service Employment Eligibility Form) on file for each grant funded employee? Choose an item.  
*\*This form is used by recipient of Federal funds to verify that persons employed by the recipient are eligible to work in the U.S.*
17. Do you have any employees with less than 1 year of experience in the Victim Services Field? Choose an item.  
 If YES, has the employee completed the VAT online training or a 40-hour equivalent? Choose an item.  
 If YES, has the proof of training been uploaded into OKGrants? Choose an item.
18. Do timesheets for paid staff and volunteers accurately reflect VOCA time? Choose an item.

**Notes:** [Click here to enter text.](#)

## **EMPLOYEE & VOLUNTEER PERSONNEL WORKSHEET**

Number of VOCA paid staff: \_\_\_\_\_ Number of Volunteer Staff: \_\_\_\_\_

**VOCA Funded Personnel**

NAME	TITLE	Salary	FTE	% Paid by VOCA	Notes

<b>Match Personnel</b>					
NAME	TITLE	Salary	FTE	Notes	

**Professional and Contractual Services**

1. Is a formal contract on file outlining specifically the work to be performed by the consultant? Choose an item.
2. Does the state of the work to be performed agree with the grant award? Choose an item.
3. Were consultants utilized and paid a fee while employed by a unit of government? Choose an item.
4. Were the contracts the result of competitive bidding? Choose an item.
5. If contracts were not the result of competitive bids, is there sole source justification? Choose an item. If not, explain: Click or tap here to enter text.
6. Are time sheets or invoices kept to record contractors’ work? Choose an item.

## Travel

1. Are expenditures for travel adequately documented with vouchers/claims/receipts? Choose an item.
2. Are travel expenditures in compliance with travel requirements? Choose an item.
3. If subgrantee is a DA's Office, are travel claims being paid through DAC (with grant money sent to DAC specifically marked for travel)? Choose an item.  
*\* This is a requirement for DA's Offices*
4. Do travel claims for training contain the training agendas? Choose an item.  
If not, explain: Click or tap here to enter text.
5. Is there some other way the subrecipient can document the type of training that was attended and if it relates to their job? Choose an item.  
If not, explain: Click or tap here to enter text.

## Equipment

1. Has the agency purchased, or intends to purchase all equipment using grant funds? Choose an item. Explain delays: Click or tap here to enter text.
2. Approximate equipment costs \$ Click or tap here to enter text.
3. Is equipment tagged or otherwise identified and is an inventory log of equipment kept? Choose an item.
4. Is equipment exclusively used for eligible victim services? Choose an item.
5. Agency maintains a fixed assets log identifying all equipment assets purchased with grant funds. At a minimum, the log includes description, serial #, acquisition date, location, and disposition data. Equipment will be tracked for 3 years following sale scraping, or other disposal of asset. Choose an item.
6. Are equipment purchases consistent with the subgrant award contract and budget narrative? Choose an item.
7. Have all receipts been retained for the equipment purchased? Choose an item.
8. Was equipment purchased through competitive bids? Choose an item.  
Explanation: Click or tap here to enter text.
9. Are property records maintained by the subgrantee adequate? Choose an item.  
Has an inventory form been uploaded to OKGrants? Choose an item.
10. Will the equipment purchased continue to be used for the project purpose after the completion of this funding period? Choose an item.

11. Do you provide, at a minimum, the equivalent insurance coverage for equipment acquired with federal funds that you do for your non-federal funded equipment? Choose an item.
12. Has subgrantee had any issues with the equipment or issues with purchasing the equipment? Choose an item. Explain: Click or tap here to enter text.
13. Did the monitor physically view the equipment? Choose an item.

### **Facilities/Rental**

1. Does subgrantee have a signed contract/lease? Choose an item.
2. Are proper receipts kept (especially if paid with cash)? Choose an item.
3. If used as in-kind match, is there supporting documentation (i.e., value, properly authorized agreement donating facility, etc.)? Choose an item.

### **Supplies/Operating**

1. Does subgrantee retain receipts? Choose an item.  
Do these receipts match what is shown on the ledger? Choose an item.  
If not, explain: Click or tap here to enter text.
2. Are all items that were purchased with VOCA funds consistent with what was requested in the grant application, consistent with what was awarded on the subgrant award contract and on the budget narrative? Choose an item.  
If not, explain: Click or tap here to enter text.
3. Have all receipts for the project period been reviewed? Choose an item.  
If not, explain: Click or tap here to enter text.
4. Were there any unallowable costs identified? Choose an item.  
If yes, explain: Click or tap here to enter text.
5. Have all receipts for the project period been reviewed? Choose an item.  
If not, explain: Click or tap here to enter text.
6. Were there any unallowable costs identified? Choose an item.  
If no, explain:

### **Other**

1. Does subgrantee retain receipts? Choose an item.  
Do these receipts match what is shown on the ledger? Choose an item.  
If not, explain: Click or tap here to enter text.
2. Are all items that were purchased with VOCA funds consistent with what was requested in the grant application, consistent with what was awarded on the subgrant award contract, and on the budget narrative? Choose an item.  
  
If not, explain: Click or tap here to enter text.

3. Does VOCA-paid staff training correspond with what was approved in the grant?  
Choose an item.

### Indirect Cost

1. Is the current IDC rate uploaded? Choose an item.

### Audits

1. Does your agency expend more than \$750,000 in federal funds in one year?  
Choose an item.  
**\* If YES, an audit is required Please forward audit to DAC Grant Monitor.**
2. What was the date of the last audit? Click or tap here to enter text.
3. Who performed the last audit? Click or tap here to enter text.
4. What were the findings relative to your VOCA award? Click or tap here to enter text.
5. Have all these findings been resolved? Choose an item. If not, explain: Click or tap here to enter text.
6. What changes in procedures have been implemented to resolve audit issues?  
Click or tap here to enter text.
7. When is the next scheduled audit? Click or tap here to enter text.

### Project Coordination

1. Is there project coordination with:
  - a. Local Courts/Law Enforcement? Choose an item.  
List Coordination Efforts: Click or tap here to enter text.  
Problems Encountered: Click or tap here to enter text.
  - b. Other Victim Service Providers? Choose an item.  
List Coordination Efforts: Click or tap here to enter text.  
Problems Encountered: Click or tap here to enter text.

### Project Implementation/Impact

1. Are project goals and objectives being achieved? Choose an item.  
Explain: Click or tap here to enter text.
2. Is subgrantee adhering to the requirements of the Stevens Amendment? Choose an item.  
**\* Any publications or press release must give credit to OVC for funding.**
3. Is subgrantee getting any local press or news clippings? Choose an item.  
**\*Please send to DAC**

4. Is subgrantee adhering to the grant requirement of distributing and helping victims with crime victim compensation application forms? Choose an item.
5. Does subgrantee have any training or technical assistance needs? Choose an item.  
Explain: Click or tap here to enter text.
6. What is the major accomplishment of this project? Click or tap here to enter text.  
What are you most proud of? Click or tap here to enter text.  
What has been a significant impact? Click or tap here to enter text.

### **Close Out Requirements**

1. Is subgrantee complying with close out requirements of past grants? (i.e., Final quarterly report showing zeroed out grant, Performance Report) Choose an item.  
Explain: Click or tap here to enter text.

### **Board Information**

1. How many members are on the Board? Click or tap here to enter text.
2. Review a copy of the Board Roster.
3. How often does the board meet? Click or tap here to enter text.
4. Review of the most recent Board Meeting Minutes for the last 3 months.  
Are Board meetings open to the public? Choose an item.
5. Does the Board follow Robert's Rules of Order? Choose an item.
6. Do you have training needs for the Board? Choose an item.  
Are there any issues between the Board and the staff of the organization? Choose an item.  
Explain: Click or tap here to enter text.

### **Post Monitoring Recommendations**

1. Are any changes to the project recommended? Choose an item.  
Explain: Click or tap here to enter text.
2. Is another on-site visit recommended? Choose an item.

If YES, why is this recommendation being made and what is the anticipated date of the next visit? Click or tap here to enter text.

**Notes:** Click here to enter text.